



North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities
and Substance Abuse Services

325 North Salisbury Street • Raleigh, North Carolina 27603 • Courier #56-20-24
James B. Hunt, Jr., Governor
C. Robin Britt, Dr., Secretary
Michael S. Pedneau, Director
(919) 733-7011

Willie M. Section

ADMINISTRATIVE LETTER NO. 96-02

TO: Area MH/DD/SA Program Directors
Area MH/DD/SA MIS Managers
Willie M. Coordinators

FROM: Marci White, Chief
Willie M. Section

DATE: July 3, 1996

RE: POLICY AND PROCEDURES FOR THE USE OF STATUS AND ACTIVITY
CODES IN THE NEW WMIS CLIENT INFORMATION SYSTEM (CIS)

PURPOSE

The purpose of this communication is to outline the policy, purpose and expectation for entry and use of two particular pieces of the Client Information System (CIS) within the new **Willie M. Information System (WMIS)**. These are "Status codes" and "Activity codes" for clients in the WMIS CIS. The definition and use of status in the WMIS is different from that of Monthly Transaction Summary Sheet used prior to July 1, 1996. Prior to this, we did not collect information on "Activities" as we are now doing in the WMIS as of July 1, 1996.

The WMIS Detailed Training during June and July 1996 includes sections on the actual entry of status code and activity information into the system. This communication is intended to provide more explanation of the principles behind these two functions and the procedures for their use.

POLICY

On July 1, 1996, we implemented our new **Willie M. Information System (WMIS)** statewide. Effective that date, area programs are to update the "status" of each client in

the WMIS for whom the area program is responsible, whenever that status changes.¹ Each client's status should be reviewed on at least a monthly basis for accuracy and adjusted accordingly. Where there is no change, an activity code signifying that the review has been completed and no change has occurred (Activity Code 202) should be entered. Optimally, changes in status during a month should be entered as they occur, however, they must be entered at least one time each month.

Effective July 1, 1996, area programs will also update, on at least a monthly basis, significant activities in the client's life and in the service system which effect service delivery (details and procedures included below and in accompanying enclosures).

BACKGROUND AND DEFINITIONS

The new WMIS enables us to process information, both on the budget/unit cost reimbursement and on the client information side, much more quickly, efficiently and with increased utility for all levels of management.

The WMIS consists of two components: the Unit Cost Reimbursement System (UCRS) and the Client Information System (CIS). Within the CIS, area programs will be able to collect and transmit electronically much of the information now collected on the nomination form. This will then form the basis of an ongoing database of client information to which information will be added as the child proceeds through the determination process, and after becoming certified as a class member. Examples of the information to be added on children after certification include updates or changes in basic identifying, agency, legal, and/or residential information about the child; as well as results from the formal Appropriateness Review process and the Assessment and Outcome Instruments. In addition, area programs will be able to request "on fine" extensions of services for class members beyond age 18, no longer requiring handwritten completion of forms at the local level.

As noted previously, the new CIS includes information called "status" codes and "activity" codes. The definitions of these terms are included below, and the current list of status and activity codes included as "pop-up" screens associated with the various data entry screens in the VMS are also included with this communication:

STATUS:	On-line representation of the child's overall relationship to the Willie M. program.
----------------	---

¹ Note that this may be changed from what was related in training. At sessions held prior to the first week in July, participants were directed to update status monthly even when it remained the same. It was later learned that the WMIS programming will not allow this. Status may only be updated when a change has occurred.

ACTIVITIES:

Child Activity: On-line representation of significant events in the *child's life or in the lives of those important to him/her*.

Process Activity: On-line representation of significant events in the *service system*.

LIST OF STATUS CODES

Enclosed is a list of the current status codes which are applicable for clients in the WMIS (version 6/21/96). There are status codes that apply to children who are not yet certified (100 and 200 series); children who are certified, both eligible and ineligible to receive services (300 and 400 series); class members whose services have been extended (500); and class members who have aged out (600). Clients (and their information) with a pre-nominated status code (100) can only be viewed by the area program entering them and will not be available for data entry or review by regional or state **Willie M.** staff. Certain status codes can only be entered by the State Office (SO), while others will be entered by the area programs (AP). The enclosed "Status Codes" table indicates who can enter the particular status code. It should also be noted that some status codes will be entered automatically through the use of certain activity codes.

PROCEDURES FOR STATUS CODE UPDATES AND CHANGES

1. **Status Code DOB** - This designates a status that will be assigned for every child entered into the system and allows for entry of activities that occurred prior to the first entry of the child into the database.
2. **Status Code 100 (Pre-Nominated Client)** - Area programs gathering preliminary information on children being considered for nomination/application for **Willie M.** class membership can enter information as it becomes available to them, yet before the nomination/application is actually forwarded to the Section office. Once any information is entered and saved in the WMIS on a new client, the client's status automatically becomes - "100 - Pre-nominated." The child's status remains 100 until the area program forwards the nomination electronically or via paper to the **Willie M.** Section.
3. **Status Code 200 (Application/Nomination to Section Office)** - When the area program is ready to forward the nomination/application to the Section office, staff can enter this status code automatically by entering Activity 900 which will then change the child's status to 200. This status can also be entered directly if the activity is not used. It can also be entered by the Section office if the nomination/application is received directly by the State (from another referral source such as a state institution, juvenile court, school system), although the

preferred practice will still be for nominations/applications to come through the area program. Once a child has a status of 200, all information entered into the system about the child is available for view and entry at both the area program and state office levels. There are certain other status codes in the 200 series that the **Willie M.** Section Office will enter as such changes occur. Area program staff will not be able to make these status code changes but will be able to view the child's status by inquiry into the system. The other status codes in the 200 series are described as follows:

- Status Code 220 (Application/Nomination Complete - Under Review) - Once the Section has received all information for making a class membership/eligibility decision and is initiating the review process, the Section will enter this status code. While in this status, the child's case is under review for making a certification/eligibility decision.
- Status Code 230 (Determined Not Eligible/Not Certified) - The status assigned to the child after review of his/her application/nomination and the child is found not to meet the criteria for class membership. All children for whom a "not certified" decision has been made will have this status code until such time as they would otherwise be ineligible for the class (e.g., by turning 18).
- Status Code 240 (Application Under Re-Review) - If a child has been denied class membership and a request is received by the Section office to re-review that decision accompanied by new information, this will become the child's status while the case is under re-review.
- Status Code 260 (Ineligible During Process) - If, while a child's nomination/application is under review, the child becomes ineligible for class membership, the Section office will change his/her status to this code. Circumstances which would result in this status code change are: death of the minor child, turning 18, being placed in an adult corrections facility, or change of legal residence to another state by the child's parent/guardian. The child's nomination/application can be reactivated if the circumstances which caused the child to be considered ineligible for class membership change before the minor's eighteenth birthday.
- Status Code 270 (Consent Withdrawn for Application/Nomination) - If the parent/guardian or an emancipated minor withdraws consent for continuation of the application process, and written verification of this is received by the State, the Section office will enter this status code for the client. If consent to proceed is later obtained, the case will be reactivated and changed to Status 220 for completion of the review process.

- Status Code 280 (Inactive Nomination/Application) - In a small number of cases, consent has not been formally withdrawn, but circumstances are such that it is not possible to proceed with the review process. The Section will determine when a client's case is to be assigned this status, based upon verifying information from several sources. The Section office will enter this status code.

4. Status Code 300 (Certified Eligible) - When the State office has completed the review of the nomination/application and determines that the child meets the class criteria, the Section office will make this status code change. This status code is to be used during the first 30 - 60 days following certification while the area program is completing the development of the child's initial T/HP. *Within 60 days following the date of this status code entry, the area program should assign and enter into the WMIS one of the following status codes for each class member (these status codes are consistent with the definitions used in the Appropriateness Review Process [See the Instruction Handbook and Reference Manual - for the Appropriateness Review for more information]).* Changes in the child's status which occur during a month (300 series or 600) are to be entered when those changes occur. At a minimum, each class member's status should be reviewed on a monthly basis and the code changed/updated. Where no changes have occurred, an activity is to be entered (Activity Code 202) signifying that the periodic review has been completed and there is no status change. Monthly changes or updates should be entered into the WMIS by the 10th of the month following the end of the month for which the status code is effective.

- Status Code 310 (Appropriately Served - Periodic Update) - If the child meets the definition for being "appropriately served" as of the last day of the month, the area program will enter this status code if this is a change from the last review. If this is the same as the previous month, the activity code described is to be entered under activities.
- Status Code 320 (Not Appropriately Served - Periodic Update) - If the class members' needs are not being met and he/she is not receiving appropriate services for any reason other than those outlined for Status Codes 331, 332, 333, or 334, this status is to be entered at the end of the month or whenever the child enters this status.
- Status Codes 331, 332, 333, 334 - All of the definitions and requirements for the use of these status codes can be found in the Instruction Handbook and Reference Manual for the **Willie M.** Appropriateness Review Process.

- ◆ 331 - *Not Appropriately Served, but Program in Compliance - Periodic Update - Parent/Guardian or Emancipated Minor Refusing Services* - If the circumstances of the class member meets the requirements for this status code as described in the above-referenced handbook, this status code is to be used.
- ◆ 332 - *Not Appropriately Served, but Program in Compliance - Periodic Update - Action by Judge*
- ◆ 333 - *Not Appropriately Served, but Program in Compliance - Periodic Update - Unforseeable Emergency Conditions*
- ◆ 334 - *Not Appropriately Served, but Program in Compliance - Periodic Update - Whereabouts Unknown*
- Status Codes 315, 325, 336, 337, 338, 339 - These status codes correspond to the above status codes, but are entered by the Section office upon receipt of the form used to complete the annual and formal appropriateness monitoring review process. Since the Section office will be entering the data from this form it will enter the status code designation that is given as a result of completing this formal monitoring process. The area program will enter the "periodic update" status code (310, 320, 331, 332, 333, or 334) at the end of the next month following the formal review or sooner, if the class member's status with the program changes.

5. Status Code 400 Series (Certified Ineligible) - If a certified class member becomes ineligible to receive services after becoming a class member, the Section office will enter this or one of the status codes listed below upon verification of the child's status change. Certain Activity codes will automatically change the status to one in this series. If the minor's status changes and he/she is again eligible for services prior to turning 18, the child's status will be changed to 300

- Status Codes 410, 420, 430, 440. The circumstances which result in the use of these status codes are : change in the legal residence of the parent/guardian to out of state, death of the class member, confinement in an adult corrections facility, or enlistment in the military. (See Status Code list).

6. Status Code 500 (Certified Extended) - Upon receipt and approval by the Section office of a request to extend a class member's services beyond age 18, the Section office will enter this status code for the class member. He/she will continue to have this status code until the extension ends or he/she decides to terminate services. At that time the class member's status will be changed by the Section office to Status Code 600 - Aged Out.

- 7. Status Code 600 (Aged Out)** - This status code is entered by the Section office automatically at the time the class member's service extension ends. If the client decides to terminate services before the extension expires, the area program would enter this as an activity (Activity #344), which results in an automatic status code change to 600. If the class member is not continuing services beyond age 18 and is aging out at that time, the area program will enter this status code at the end of the month of the class member's eighteenth birthday. If a class member's 18th birthday passes and the status is not changed, the system will automatically "age-out" the class member after the 18th birthday.

ACTIVITY CODES

Background

The new WMIS will enable local and state level staff to have a wealth of information readily available about class members and the services being provided as part of the local service system. The service information (service type, number of units, rates, etc.), coupled with information from the client portion of the WMIS will allow managers to look at a number of issues relative to the design, implementation, operation and outcomes of local services.

In order to take the information included in the WMIS and analyze it, as well as use it to make management and service decisions, etc., we need to be able to consider the context within which we provide services. That context includes the class member's life as well as the "life" of the local service system. Therefore, we have included a way to gather information on those contexts through the use and entry of activities which happen in the child's life or in the service system (Child activities and Process activities). *Child activities are defined as significant events in the child's life or in the lives of those important to him/her. Process activities are defined as significant events in the service system.*

The attached list was created by the Section office. It is a part of the WMIS as a pop-up screen that appears when the area program or Section office performs the function of "Maintain Activity" for an individual client. The Section will update this list as needed, most probably on an annual basis. The list is mostly self-explanatory, with some explanation included here for activities that call for multiple levels of data entry.

General Procedures for Entry of Activity Codes

- Area programs and Section staff will enter relevant activity codes on clients in the WMIS as they occur, but at least on a monthly basis. (Certain activity codes can only be entered by Section staff, and some only by the area program or by both. Those designations are included on the attached list).

- Child Activities (100 - 500) are considered mandatory activities which are to be entered as they occur for the individual child.
- Child Activities in the 600 series are *OPTIONAL* for entry by the area program. These include the service definitions from the **Willie M.** Budget Manual only. Some area programs requested that the service objectives be included here so that the area program could choose to use this entry process as a way to document service provision. This is not a requirement and it was not included in the WMIS as a substitute for local processes for recording service provision *nor is it a replacement for Volume of Service entry in the UCR system for payment.* Note that these codes are different from the UCR codes for the same services.
- Process Activities (700 series) are considered mandatory activities which are to be entered as they occur for the individual child.
- Application/Eligibility Processing Functions (900 series) cover activities which involve the application/nomination procedure. For the most part, they are entered by the **Willie M.** Section office. Any of those that are entered only by the Section office are available for inquiry and view by the area program. Those activities that relate only to internal Section office processes and tracking will not be available for view by area programs as part of the child's record. The attached "Activity Codes" chart provides a list of all codes as well as who can enter and view them.
- When an activity is being entered, the area program or Section staff will select the code for the chosen activity, and the activity description will automatically appear. An "effective" date for the activity is then to be entered for the activity. This is all that is required to record an activity.
- *For any activity entered, it is possible, though not required, to include more detail about a particular activity by entering information on a "Memo" screen attached to each separate activity entry.* The child's activity history can be printed out, along with any memorandum attached to an activity. This memorandum function will allow area program and Section staff to include more contextual information surrounding a significant event. Consistent and appropriate use of the activity function in the WMIS will enable area programs to quickly collect, keep and generate information used in the creation of client life charts. However, it will not replace the life chart which continues to be part of the T/HP and needs to be updated with each T/HP completion.
- If an activity is labeled as "Critical" on the attached list, the entry of that particular activity will be automatically transmitted to a special place in the

system where “critical activities” for a system can be called up for view and/or action by the Section office staff, if needed. (We expect that an enhancement planned for the WMIS will allow area programs to review critical activity in the near future.) This is particularly helpful for communicating important information between area programs and the Section office around the more volatile circumstances which can occur so frequently with class members. *Please note that because an activity is not labeled “critical” in WMIS, does not mean it is not an important event, but rather it is not considered necessary for that activity to automatically trigger a system notice/response.*

- If a particular activity results in an automatic change in the child's status, that change will occur automatically in the system. For example, activity #355 is “Child/Family Move Out of State.” Upon entry of that activity, an automatic change in the child's status occurs, to Status Code 410 (Certified Ineligible). There are a number of these linkages built into the function of activity maintenance which are reflected in the attached “Activity Codes” list. The various status codes for which an activity can apply are also included on the attached list.
- Procedures for Certain Activities:

Activity 101 - Change in Living Arrangement - This activity is to be entered anytime the child's living arrangement changes. This refers to permanent changes and does not include temporary situations such as respite or overnight crisis services. The choices for living arrangement are included on a pop-up screen associated with this activity and are the same as those used when adding a client to the database and when “living arrangement” information is collected when the Assessment and Outcome Instruments are completed. The choices are: “home,” “child lives on own” (which included situations when the child lives with others not his/her guardian), “foster home,” “therapeutic home,” “independent living program with some adult supervision,” “one-child program with 24 hr./day staff,” “small group staffed residence” (2-3 clients), “group home” (4-9 residents), “non-secure group RTC,” “camp program,” “secure non-medical RTC,” “hospital,” “training school,” “adult corrections facility,” “homeless,” “other,” “juvenile detention,” or “adult jail.” When a selection is made, a message appears on the screen, “Does this change in living arrangement result in a change in the child's service status designation?” If the answer is “Yes,” the user will be switched automatically to the screen for updating the client's status. If the answer is “No,” the user can edit this function or continue adding other activities. *Any change in living arrangement should include a memorandum to describe the setting the child moved to, reason and date-of move.* The setting the child moves to is collected in the database (and available for inquiry as “Placement History”

on the “Identifying Information” Screen). It is not however, reflected in the description that appears on the screen for Change in Living Arrangement Activity.

Activity 201 - Change or Update Service Status Designation - Changes in the child's status can be entered from the activity function screen if the user is entering other activities. Otherwise, the user may make status code changes through the “Change Status” (CS) function.

Activity 202 - Periodic Review - No Status Change - This activity is to be used when, after reviewing the client's status with regards to appropriateness on a monthly basis, it is determined that there is no change from the previous month. By entering this activity, there will be a record that the client's status was reviewed.

A sample case vignette (also used in the training session) is included for your information which highlights the situations which would warrant activity and status code entries and updates.

As the policy and procedures for these two functions is change or amended, the **Willie M.** Section will update this communication.

cc:

Michael Pedneau
Lowell Harris
Bill Hussey